

**Corrective Action Report
for the
EPA Mid-Atlantic Region 3
Philadelphia Office
Environmental Management System
Internal Audit No. 2
July 2004**

**Produced by Steven J. Donohue
EMS Coordinator/Management Representative**

This audit report was prepared by the EMS Coordinator using the EMS Audit Findings Report produced by our EMS auditors for the second internal EMS audit conducted at our Philadelphia facility in June/July 2004. The audit resulted in a total of 21 findings; 3 acceptable, 5 unacceptable and 13 conditional.

The findings are presented in order by number to conform with the organization of the Audit Report.

This Corrective Action Report (CAR) does not include a response to the acceptable findings (7, 8 and 16).

Unacceptable findings (5, 13, 19, 20 and 21) must be and are addressed in this CAR.

The EMS Coordinator is recommending that the conditional findings (1, 2, 3, 4, 6, 9, 10, 11, 12, 14, 15, 17 and 18) also be addressed and for this reason they are included in the CAR.

EMS Corrective Action Report (CAR)

Facility Name: EPA Mid-Atlantic Region III Philadelphia Office

Activity Number: 1

Audit Date: June - July 2004

Finding Number: 1. - *The environmental policy should be strengthened by specifically including language in its scope to include the activities of contractors.*

Category: Conditional

Root Cause Analysis: None

Interim Actions: None

Corrective Actions: In the July 19, 2004 Senior Management Review of the EMS and a July 28, 2004 Deputy Division Directors meeting, management was briefed on the results of the most recent internal audit and this finding. For these meetings, the EMS Coordinator created a redline strikeout version of the existing policy that included the addition of contractors to the policy. The EMS Policy will be revised by adding contractors to the policy.

Preventive Actions: None

Action Due Date: During the next EMS Cycle

EMS Coordinator:

Environmental Manager Approval:

Date Closed:

EMS Auditor Verification:

Date:

EMS Corrective Action Report (CAR)

Facility Name: EPA Mid-Atlantic Region III Philadelphia Office

Activity Number: 1

Audit Date: June - July 2004

Finding Number: 2. - *There is no evidence of additional activities and their associated aspects/impacts being evaluated. It is unclear (section 4 procedures) how and when the periodic review (including the management review) will be conducted to determine when the new aspects and impacts will be addressed. No regular source of funding for EMS projects and training*

Category: Conditional

Root Cause Analysis: EMS Calendar is not mentioned in our procedures.

Interim Actions: None

Corrective Actions: The EMS Coordinator had created an EMS Calendar prior to the internal audit No 2. will add a reference to our EMS Calendar to our procedures.

Preventive Actions: The Region has established an EMS monthly calendar of events that describes our annual plan, do, check, act cycle.

The July 19, 2004 Management Review, July 28, 2004 Deputy Division Directors meeting, monthly EMS Team meetings, have been used to determine new aspects and impacts. The EMS Coordinator described several new aspects that are recommended to be added to our EMS in the next cycle.

In the Management Review on July 19 2004 and the July 28, 2004 Deputy Division Directors meeting, the EMS Coordinator reminded management and asked for resolution to the issue of the lack of a dedicated source of funding for EMS projects and training.

Action Due Date: In the next EMS Cycle

EMS Coordinator:

Environmental Manager Approval:

Date Closed:

EMS Auditor Verification:

Date:

EMS Corrective Action Report (CAR)

Facility Name: EPA Mid-Atlantic Region III Philadelphia Office

Activity Number: 1

Audit Date: June - July 2004

Finding Number: 3 - *May not be completely complying with E.O. 13148 in reducing use of hazardous materials (mercury in the Health Unit).*

Category: Conditional

Root Cause Analysis: The Mid Atlantic Regional Office EMS Team has recently completed compilation of our legal and other requirements that are applicable to our office. This finding is an example of requirements that need to be fulfilled as the EMS Team investigates and becomes more familiar with the specific requirements in the Executive Orders.

Interim Actions: None

Corrective Actions: The Chief of the Facilities Management Services Branch is investigating options for removal of all mercury containing equipment in the Health Unit. These items will be replaced if mercury free equipment is available and replacing or removal of this equipment will not jeopardize the health and safety of our employees.

Preventive Actions: The EMS Coordinator, or his designee, will review all the legal and other requirements to ensure no other legal and other requirements are not being addressed.

Action Due Date: During the next EMS Cycle

EMS Coordinator:

Environmental Manager Approval:

Date Closed:

EMS Auditor Verification:

Date:

EMS Corrective Action Report (CAR)

Facility Name: EPA Mid-Atlantic Region III Philadelphia Office

Activity Number: 1

Audit Date: June - July 2004

Finding Number: 4. - A Region III EMS statement needs to be included in the “terms and conditions” of contracts especially for contracts that effect our significant aspects.

Category: Conditional

Root Cause Analysis:

Interim Actions: None

Corrective Actions: Revise contracts, as they are renewed, by adding an EMS Statement in the terms and conditions of contracts that effect our significant aspects to make our contractors aware of our EMS. Working with the Contracts Branch, develop boilerplate language to insert into the terms and conditions of our contracts.

Preventive Actions:

Action Due Date: During the next EMS Cycle,

EMS Coordinator:

Environmental Manager Approval:

Date Closed:

EMS Auditor Verification:

Date:

EMS Corrective Action Report (CAR)

Facility Name: EPA Mid-Atlantic Region III Philadelphia Office

Activity Number: 1

Audit Date: June - July 2004

Finding Number: 5 - *The Executive Order 13101 requiring Green Purchasing and RCRA 6002 requiring Affirmative Procurement is not well-understood or complied with. Also, the Region has not identified a Regional Recycling Coordinator, per E.O. 13101, Environmental Preferable Purchasing.*

Category: **Unacceptable**

Root Cause Analysis: The Mid Atlantic Regional Office EMS Team has recently completed compilation of our legal and other requirements that are applicable to our office. This finding is an examples of requirements that need to be fulfilled as the EMS Team investigates and becomes more familiar with the specific requirements in Executive Orders.

Interim Actions: None

Corrective Actions: The Region will identify a Regional Recycling Coordinator on or before September 30, 2004. The Recycling Coordinator will be responsible for the reporting requirements for EO 13101. The building manager of our office/facility space is responsible for contracting for the removal of solid waste and recyclables. EPA will commence discussions with the building manager to try to ensure they collect and provide solid waste and recycling information, responsive to the EO13101requirements, to EPA.

The Region will develop an Operational Control for Environmental Preferable Purchasing on or before December 31, 2004.

The Region will arrange to have training on EPP presented on or before December, 31 2004

Preventive Actions:

The EMS Coordinator, or his designee, will review all the legal and other requirements to ensure no other legal and other requirements are not being addressed.

Action Due Date: On or before September 30, 2004 and on or before December 31, 2004, respectively.

EMS Coordinator:

Environmental Manager Approval:

Date Closed:

EMS Auditor Verification:

Date:

EMS Corrective Action Report (CAR)

Facility Name: EPA Mid-Atlantic Region III Philadelphia Office

Activity Number: 1

Audit Date: June - July 2004

Finding Number: 6 - *Have internal requirements such as Regional Orders/Office Instructions been reviewed for their impact on the Regional EMS. For example: Posting notices on entryway doors may not be allowed or are there better ways to communicate these messages.*

Category: Conditional

Root Cause Analysis: Lack of awareness, communication and current applicability of Regional Orders and Office Instructions.

Interim Actions: None

Corrective Actions: In the next EMS cycle, management will inform staff that posters advertising events can be placed in the first floor lobby but should not be placed on the glass doors on every floor. Electronic mail, pop ups etc. may be used to remind staff of events.

Preventive Actions: The EMS Coordinator or designee will review all Regional Orders and Office Instructions for their impact on the EMS.

Action Due Date: In the next EMS cycle

EMS Coordinator:

Environmental Manager Approval:

Date Closed:

EMS Auditor Verification:

Date:

EMS Corrective Action Report (CAR)

Facility Name: EPA Mid-Atlantic Region III Philadelphia Office

Activity Number: 1

Audit Date: June - July 2004

Finding Number: 9 - *Paper reduction activities in either areas are not shared for all to incorporate. For example: The EMP process does not allow other approaches or better ideas to be communicated or shared. A best management practice approach should be developed in the EMPs to increase communication of the Regional EMS (publicize mini-success stories).*

Category: Conditional

Root Cause Analysis: Lack of formal recognition and reward program for the EMS.

Interim Actions: None

Corrective Actions: The EMS currently has a suggestion box and informal suggestions and ideas resulting from EMS communications and emails are collected for further action and incorporation into the EMS.

Preventive Actions: Management has also given approval to establish a recognition and reward program for our employees. This should enhance generation of new best management practices to address our activities, products and services, aspects and their impact on the environment..

Action Due Date: In the next EMS Cycle

EMS Coordinator:

Environmental Manager Approval:

Date Closed:

EMS Auditor Verification:

Date:

EMS Corrective Action Report (CAR)

Facility Name: EPA Mid-Atlantic Region III Philadelphia Office

Activity Number: 1

Audit Date: June - July 2004

Finding Number: 10 - *Roles and responsibilities at the Division level are not fully defined or understood. The EMS is well-documented on a regional level; however, the audit team recommends that the divisions should take on a greater responsibility of implementing the EMS objectives and targets.*

Category: Conditional

Root Cause Analysis: As we continue to integrate the EMS into our operations the communication we will need to take place in a more decentralized manner.

Interim Actions: None

Corrective Actions: We will include the EMS into Team and work group members position description. We will define the duties of the Division/Office representative and work group members. Team and work group members will help spread the word and fostering lateral communication on EMS information and awareness throughout our organization.

Preventive Actions: None

Action Due Date: In the next EMS Cycle

EMS Coordinator:

Environmental Manager Approval:

Date Closed:

EMS Auditor Verification:

Date:

EMS Corrective Action Report (CAR)

Facility Name: EPA Mid-Atlantic Region III Philadelphia Office

Activity Number: 1

Audit Date: June - July 2004

Finding Number: 11 - *Roles and responsibilities at the Division level are not fully defined.*

Category: Conditional

Root Cause Analysis: As we continue to integrate the EMS into our operations the communication will need to take place in a more decentralized manner.

Interim Actions: None

Corrective Actions: We will include the EMS into Team and work group members position description. We will define the duties of the Division/Office representative and work group members. Team and work group members will help spread the word and fostering lateral communication on EMS information and awareness throughout our organization.

Preventive Actions: None

Action Due Date: In the next EMS Cycle

EMS Coordinator:

Environmental Manager Approval:

Date Closed:

EMS Auditor Verification:

Date:

EMS Corrective Action Report (CAR)

Facility Name: EPA Mid-Atlantic Region III Philadelphia Office

Activity Number: 1

Audit Date: June - July 2004

Finding Number: 12 - *New employee orientation training does not cover EMS awareness training.*

Category: Conditional

Root Cause Analysis: EMS still not fully integrated into all regional operations.

Interim Actions: None

Corrective Actions: The EMS Coordinator presented information to new employees in early 2004 at the last new employee orientation presented in the Regional office

Preventive Actions: Staff that organizes the new employee orientation utilizes the agenda from the last orientations as the basis for what needs to be covered in planning this training. The EMS Coordinator and the EMS Topic were included in the last orientation.

Action Due Date: July 2004

EMS Coordinator:

Environmental Manager Approval:

Date Closed:

EMS Auditor Verification:

Date:

EMS Corrective Action Report (CAR)

Facility Name: EPA Mid-Atlantic Region III Philadelphia Office

Activity Number: 1

Audit Date: June - July 2004

Finding Number: 13 - *Greater need for Professional EMS training and auditor training.*

Category: **Unacceptable**

Root Cause Analysis: Attrition and retirement has depleted the number of available Region 3 employees who are trained auditors.

Interim Actions: None

Corrective Actions: Obtain and offer a one or two day in-house training for auditors on or before December 2004. These auditors would then be qualified to assist in internal audits. In the next EMS cycle the Environmental Assessment and Innovation Division will arrange for additional employees to receive the week long ISO Lead auditor training.

EMS auditor training

Preventive Actions: It has been several years since the EMS auditor training course was presented in the Regional office. We should plan on offering some type of audit training at regular intervals possibly every three years.

Action Due Date: On or before December 2004 and during the next EMS Cycle, respectively.

EMS Coordinator:

Environmental Manager Approval:

Date Closed:

EMS Auditor Verification:

Date:

EMS Corrective Action Report (CAR)

Facility Name: EPA Mid-Atlantic Region III Philadelphia Office

Activity Number: 1

Audit Date: June - July 2004

Finding Number: 14 - *There is no formal communication mechanism back to the EMS coordinator. There is no feedback loop from staff to communicate up to the coordinator (EMS Team) with new ideas or recommendations. (Suggestion; Team may want to solicit feedback on a regular basis)*

Category: Conditional

Root Cause Analysis: None

Interim Actions: None

Corrective Actions: There is an existing electronic suggestion box on the EMS website. Employees may also submit non-conformance notices. Management has also given approval to establish a recognition and reward program for our employees.

Preventive Actions: No

Action Due Date: In the next EMS Cycle

EMS Coordinator:

Environmental Manager Approval:

Date Closed:

EMS Auditor Verification:

Date:

EMS Corrective Action Report (CAR)

Facility Name: EPA Mid-Atlantic Region III Philadelphia Office

Activity Number: 1

Audit Date: June - July 2004

Finding Number: 15 - *The EMS audit found formal communication links at certain levels of the organization but not at all levels. There was a clear connection of communication from senior management to the division level. There appears to be a need to get line management to “own “ EMS performance to become a best performer.*

Category: Conditional

Root Cause Analysis: As we continue to integrate the EMS into our operations the communication will need to take place in a more decentralized manner.

Interim Actions: None

Corrective Actions: We will define the role of EMS Team and work group members and include EMS as part of their position description. The Division office representative could then become the EMS coordinator for his/her group. Division Directors should support and reinforce the efforts of their coordinator. Deputy Division Directors attended a meeting on July 28, 2004 to discuss and approve recommendations resulting from the Management Review. DDDs will inform line management of this meeting. The EMS Coordinator, or his designee, will develop a marketing strategy and provide input to DDDs to communicate to their managers.

Preventive Actions: None

Action Due Date: In the next EMS Cycle

EMS Coordinator:

Environmental Manager Approval:

Date Closed:

EMS Auditor Verification:

Date:

EMS Corrective Action Report (CAR)

Facility Name: EPA Mid-Atlantic Region III Philadelphia Office

Activity Number: 1

Audit Date: June - July 2004

Finding Number: 17 - *Operational Controls are not communicated to all levels. Need to use more creative ways to communicate the Regional EMS message.*

Category: Conditional

Root Cause Analysis: Due to the number and diversity of our employees, there is no one totally effective or right way to communicate the EMS and our operational controls.

Interim Actions: None

Corrective Actions: Team will continue to do in-reach to our employees via email, posters in the main lobby, and through training sessions. In addition the EMS Team will begin including a regular message in the "Protector" newsletter to try a new approach to communicating the EMS to our employees. As stated in the corrective action for previous findings, we will define the role of our division/office representatives and expect communication to be a big part of their duties.

Preventive Actions: None

Action Due Date: In the next EMS cycle.

EMS Coordinator:

Environmental Manager Approval:

Date Closed:

EMS Auditor Verification:

Date:

EMS Corrective Action Report (CAR)

Facility Name: EPA Mid-Atlantic Region III Philadelphia Office

Activity Number: 1

Audit Date: June - July 2004

Finding Number: 18 - *The EMS Regional Procedure Manual needs to include approval signature lines for senior management review and evaluation in all of the applicable procedures. Also, the documents need to be dated and the specific author identified.*

Category: Conditional

Root Cause Analysis: Web based EMS Regional Procedures Manual

Interim Actions: None

Corrective Actions: The Online version of our EMS Regional Procedures Manual states the author and senior management approval of all the procedures. When any procedure is modified the software automatically dates the procedure.

Preventive Actions: None

Action Due Date: None

EMS Coordinator:

Environmental Manager Approval:

Date Closed:

EMS Auditor Verification:

Date:

EMS Corrective Action Report (CAR)

Facility Name: EPA Mid-Atlantic Region III Philadelphia Office

Activity Number: 1

Audit Date: June - July 2004

Finding Number: 19 - *EMS Shall extend to contractors. The scope of the EMS should include contractors. Employees not aware of EMS operational controls even though they have a responsibility for participating in the implementation. No OCs for division offices. Some offices could benefit from OCs*

Category: Conditional

Root Cause Analysis:

Interim Actions: None

Corrective Actions: The EMS Policy will be revised to include contractors. Divisional/Office representatives responsibility will be defined and will include identification of any division/office required operational controls.

Preventive Actions: None

Action Due Date: With the approval of management, in next EMS cycle

EMS Coordinator:

Environmental Manager Approval:

Date Closed:

EMS Auditor Verification:

Date:

EMS Corrective Action Report (CAR)

Facility Name: EPA Mid-Atlantic Region III Philadelphia Office

Activity Number: 1

Audit Date: June - July 2004

Finding Number: 20 - *Corrective Action Report from the EMS December 2003 audit does not follow the EMS Regional Procedures Manual. The date of the corrective action and the date of completion of the preventative action was not provided in the corrective action report.*

Category: **Unacceptable**

Root Cause Analysis: In the scoping meeting, at the outset of the December 2003 external audit it was agreed that the Headquarters contractor, ERG, would utilize their own documentation and format for the audit and formal findings and that formal corrective actions would not be prepared.

Interim Actions: None

Corrective Actions: In the future all audits findings will be addressed in a Corrective Action report according to our EMS Procedures and format.

At the closeout meeting ERG presented the region with a two page document entitled, "EMS Review for the region 3 Office" The Review summarized the Region's status on achieving the 12 steps Headquarters had set up to achieve the self declaration to Executive Order 13148. ERG indicated 2 of the 12 steps were incomplete and requested additional information to document that they had been or would completed. The EMS Coordinator provided ERG with modified documents and other information as evidence to show Region 3 had fully complied with the two steps.

ERG also prepared a more lengthy 46 page report entitled, "Observations on Implementation Report". The EMS Coordinator went through the 46 page Report and gleaned a number of suggestions to improve the EMS. However, the EMS Coordinator did not prepare a formal Corrective Action Report according to our internal EMS format to respond to the items in the Report. Many of the suggestion made by ERG have already been incorporated into our EMS and the remaining items will likely be added in the next EMS Cycle.

Preventive Actions: In the future all audits findings will be addressed in a Corrective Action report according to our EMS Procedures and format. The Region 3 Philadelphia office was the first EPA facility to receive an external audit by the Headquarters contractor on compliance with the 12 steps that had been established to achieve self declaration under EO 13148. This was also

the first audit of any kind the EMS Coordinator participated in. Perhaps a clearer understanding of the role and responsibility of Headquarters, ERG and the Region in the external audit is needed. The EMS Coordinator will be sharing our experiences with other Regions and their EMS Coordinators in a presentation at the annual national SHEM meeting in the Philadelphia on August 5, 2004.

Action Due Date: June 2, 2003

EMS Coordinator:

Environmental Manager Approval:

Date Closed:

EMS Auditor Verification:

Date:

EMS Corrective Action Report (CAR)

Facility Name: EPA Mid-Atlantic Region III Philadelphia Office

Activity Number: 1

Audit Date: June - July 2004

Finding Number: 21 - *The Management Review shall be documented. There is no available documented management review.*

Category: **Unacceptable**

Root Cause Analysis: The only record existing from the first management review was an agenda for the meeting. No minutes or other documents exists to determine decisions management made in the meeting or as a result of the meeting.

Interim Actions: None.

Corrective Actions: Our EMS procedures are being followed in the current Management Review that is being conducted in July 2004. Records from this review will include a Powerpoint presentation presented at the July 19, 2004 Management Review and Recommendations and Notes from a follow-up July 28, 2004 meeting with the Deputy Division Directors. Corrective Actions specified and in this report were vetted and approved by management in these meetings.

Preventive Actions: Documents generated for the 2004 Management Review can be used as examples for next year.

Action Due Date: None

EMS Coordinator:

Environmental Manager Approval:

Date Closed:

EMS Auditor Verification:

Date: